

03-19-01

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PTO/SB/05 (12/97)

Approved for use through 9/30/00 OMB 0651-0032

Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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03/16/01

U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No	2807.2.22.3	Total Pages	54
First Named Inventor or Application Identifier			
Michael H. Myers			
Express Mail Label No	EL751290751US		

11036 U.S. PTO
09/01/02

03/16/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)2. ☒ Applicant claims small entity status. See 37 CFR 1.273. ☒ Specification Total Pages
(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Application
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets

5. Oath or Declaration [Total Pages

a. ☒ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)

[Note Box 5 below]

c. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in prior application, see 37 CFR 1.63(d)(2)
and 1.33(b).

6. ☐ Incorporation by Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy
of the oath or declaration is supplied under Box 4b is considered
as being part of the disclosure of the accompanying application
and is hereby incorporated by reference therein.

Assistant Commissioner for Patents
ADDRESS TO: Box Patent Application
Washington, DC 20231

7. ☐ Microfiche Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if
applicable, all necessary)

- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9. ☐ Assignment Papers (cover sheet & document(s))
- 10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
- 11. ☐ English Translation Document (if applicable)
- 12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS
Citations
- 13. ☐ Preliminary Amendment
- 14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- 15. ☐ Small Entity ☐ Statement filed in prior application,
Statement(s) Status still proper and desired
- 16. ☐ Certified Copy of Priority Document(s)
if foreign priority is claimed
- 17. ☒ Other: Express Mail Certificate

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

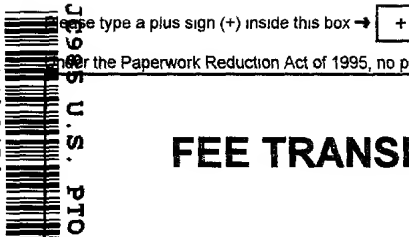
28049

or ☐ Correspondence address below

NAME	Hal D. Baird				
	PATE PIERCE & BAIRD				
ADDRESS					
CITY			STATE		
COUNTRY	US		TELEPHONE	(801) 530-5090	FAX (801) 530-5955

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

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Please type a plus sign (+) inside this box → ☐

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FEE TRANSMITTAL

Note: Effective October 1, 1997.
Patent fees are subject to annual revision.

Complete If Known

Application Number	
Filing Date	March 16, 2001
First Named Inventor	Michael H. Myers
Group Art Unit	
Examiner Name	
Attorney Docket Number	2807.2.22.3

TOTAL AMOUNT OF PAYMENT	\$355.00
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METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- Deposit Account Number
- Deposit Account Name
- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee In 37 CFR at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:
- ☒ Check ☐ Money Order ☐ Other

FEE CALCULATION**4. FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)

355

2. CLAIMS

Total Claims	Extra	Fee from below	Fee Paid
18	-20 = 0	9	0
1	-3 = 0		0
Multiple Dep. Claims	0		0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
109	80	209	40	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2520	147	2520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1840*	113	1840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1390	218	695	Extension for reply within fourth month	
128	1890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1510	138	1510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - intentional	
141	1240	241	620	Petition to revive - unintentional	
142	1240	242	620	Utility issue fee	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) _____

Other fee (specify) _____

*Reduced by Basic Filing Fee

SUBTOTAL (3)**SUBMITTED BY****Complete (if applicable)**

Typed or Printed Name	Hal D. Baird	Reg. Number	42,284
Signature	<i>Hal D. Baird</i>	Deposit Account User ID	
Date	Mar 16, 2001		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"Express Mail" Mailing Label No.: EL751290751US

Date of Deposit: March 16, 2001

I hereby certify that this patent application in the name of Michael H. Myers for "MODULATION SYNTHESIS APPARATUS FOR PHOTONIC WAVELENGTH SHIFTING," together with fourteen (14) sheets of drawings; Declaration, Power of Attorney and Petition; transmittal letter; fee transmittal letter; and Check No. 1867 for \$355.00, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above in an envelope addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,



Hal D. Baird
Reg. No. 42,284
Attorney for Applicant

Date: March 16, 2001

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